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Date: February 27, 2007

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(Quyen Nguyen)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application No.: 09/436,455  
Confirmation No.: 6666  
Filing Date: November 8, 1999  
Inventor(s): Christopher J. DANEK et al  
Title: DEVICES FOR MODIFICATION OF AIRWAYS BY TRANSFER OF ENERGY  
Examiner: D. Shay  
Group Art Unit: 3735

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop Amendment  
Commissioner for Patent  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §1.97 and §1.98, Applicants submit for consideration in the above-captioned application the documents listed on the attached Form PTO/SB/08a/b. Copies of foreign documents and non-patent literature are submitted herewith. The Examiner is requested to make these documents of record.

This Information Disclosure Statement is submitted before the mailing of a first Office Action after the filing of a Request for Continued Examination under § 1.114. However, if applicable, a certification under 37 C.F.R. §1.97(e)(1) has been provided.

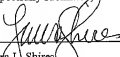
Applicants would appreciate the Examiner initialing and returning the Form PTO/SB/08a/b, indicating that the information has been considered and made of record herein.

The information contained in this Information Disclosure Statement under 37 C.F.R. §1.97 and §1.98 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this

application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the event the appropriate fee and/or petition is not filed herewith and the U.S. Patent and Trademark Office determines that an extension and/or other relief is required, Applicant petitions for any required relief including extensions of time and authorize the Commissioner to charge the cost of such petitions and/or other fees due in connection with this filing to **Deposit Account No. 50-3973** referencing Attorney Docket No. **ASTXNA00300**. However, the Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Respectfully submitted,

  
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Substitute for form 1449PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>		Complete if Known <b>Application Number</b> 09/436,455 <b>Filing Date</b> November 8, 1999 <b>First Named Inventor</b> Christopher James DANEK <b>Art Unit</b> 3735 <b>Examiner Name</b> D. Shay	
<b>Sheet</b>	<b>1</b>	<b>of</b>	<b>3</b>
		<b>Attorney Docket No:</b> ASTXNA00300	

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code (if known)			
		US-4461283	07-24-1984	DOI; Yuzuru	
		US-4567552	02-04-1986	HELLER; Richard M.	
		US-4802492	02-07-1989	GRUNSTEIN; Michael M.	
		US-4976709	12-11-1990	SAND; Bruce J.	
		US-5096916	03-17-1992	SKUPIN; Alvaro H.	
		US-5152286	10-06-1992	SITKO; Sergei P. et al.	
		US-5755753	05-26-1998	KNOWLTON; Edward W.	
		US-6198870	03-06-2001	FREED; Marcy L. et al.	
		US-6283669	09-04-2001	LAUFER; Michael D. et al.	
		US-6299633	10-09-2001	LAUFER; Michael D.	
		US-6338636	01-15-2002	KUTH; Rainer et al.	
		US-6634363	10-21-2003	DANEK; Christopher James et al.	
		US-20020091379A1	07-11-2002	DANEK; Christopher J. et al.	
		US-20040031494A1	02-19-2004	DANEK; Christopher James et al.	
		US-20040182399A1	09-23-2004	DANEK; Christopher James et al.	
		US-20050010270A1	01-13-2005	LAUFER, Michael D.	

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 See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. \*Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).  
 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document, a kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. \*Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449 (PTO)  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		Complete if Known <b>Application Number</b> 09/438,455 <b>Filing Date</b> November 8, 1999 <b>First Named Inventor</b> Christopher James DANEK <b>Art Unit</b> 3735 <b>Examiner Name</b> D. Shay	
<b>Sheet</b> 2	<b>of</b> 3	<b>Attorney Docket No:</b> ASTXNA00300	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Documents Country Code <sup>2</sup> Kind Code <sup>3</sup> (if Known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>4</sup>
		RU-2053814C1	02-10-1996	NOVIKOV VALERIJ NIKOLAEVICH		✓
		RU-2091054C1	09-27-1997	VLADIVOSTOKSKIY GOSUDARSTVENNIY MEDITSINSKIY UNIVERSITET		✓
		WO-9733715A1	09-18-1997	BOOTSMAH HOLDING B.V.		

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Substitute for form 1449/PTO		Complete if Known		
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		Application Number	09/436,456	
		Filing Date	November 8, 1999	
		First Named Inventor	Christopher James DANEK	
		Art Unit	3735	
		Examiner Name	D. Shay	
Sheet	3	of	3	Attorney Docket No: ASTXNA00300

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume- issue number(s), publisher, city and/or country where published.		T2
		PROVOTOROV et al., The Clinical Efficacy of Treating Patients with Nonspecific Lung Disease by Using Low-energy Laser Irradiation and Intrapulmonary Drug Administration, ISSN: 0040-3660., Terapevticheskii Arkhiv (USSR), 1991, 63 (12), 18-23.		
		VOROTNEV et al., Low energy laser treatment of chronic obstructive bronchitis in a general rehabilitation center, ISSN: 0040-3660., Terapevticheskii Arkhiv, 1997, 69 (3), 17-19.		
		IVANIUTA O. M. et al., Effect Of Low-Power Laser Irradiation Of Bronchial Mucosa On The State Of Systemic And Local Immunity In Patients With Chronic Bronchitis, Problemy Tuberkuleza, 1991, 6, 26-29.		

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